

Army Regulation 70-45

Research, Development, and Acquisition

Scientific and Technical Information Program

**Headquarters
Department of the Army
Washington, DC
1 January 1984**

UNCLASSIFIED

SUMMARY of CHANGE

AR 70-45

Scientific and Technical Information Program

Effective 1 February 1984

Research, Development, and Acquisition

Scientific and Technical Information Program

By Order of the Secretary of the Army:

JOHN A. WICKHAM, JR.
General, United States Army
Chief of Staff

Official:

ROBERT M. JOYCE
Major General, United States Army
The Adjutant General

History. This publication has been reorganized to make it compatible with the Army electronic publishing database. No content has been changed.

Summary. This regulation, which establishes the Department of the Army Scientific and Technical Information Program, has been revised. It implements DOD Directive 3200.12, which is included as appendix A. It also implements pertinent provisions of Public Law 94-282 (sec 6602, title 42, United States Code (42 USC 6602)), included as appendix B, and Public Law 96-480 (sec 3710, title 15, United States Code (15 USC 3710)), included as appendix C; these provisions govern handling and utilization of results derived from scientific research, development research, development, and manufacturing technology. This revision updates responsibilities, policies, and objectives for the Army's Scientific and

Technical Information Program and retains the US Army Materiel Development and Readiness Command as executive agent.

Applicability.

a. This regulation applies to all Active Army organizations, including the civil works elements of the Corps of Engineers, that do the following:

(1) Direct, administer, perform, and support research, development, manufacturing, test, and evaluation programs; these programs include documentation resulting from independent research and development efforts.

(2) Originate, collect, store, issue, and lend documented resources of scientific and technical information; examples are technical libraries, medical research libraries, technical information centers, and technical information analysis centers in support of research, development, test, and evaluation programs.

b. This regulation does not apply to the following:

(1) The Army National Guard and US Army Reserve.

(2) Communication and display of information relating to the following:

(a) Command and control of operation and operational forces.

(b) Scientific and technical intelligence programs.

(c) Technical data management programs.

Proponent and exception authority. Not applicable.

Army management control process. This regulation does not contain information that affects the New Manning System.

Supplementation. Supplementation of this regulation is prohibited unless prior approval is obtained from HQDA (DAMA-ARR), WASH DC 20310.

Interim changes. Interim changes to this regulation are not official unless they are authenticated by The Adjutant General. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested Improvements. The proponent agency for this regulation is the Office of the Deputy Chief of Staff for Research, Development, and Acquisition. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through Headquarters, US Army Materiel Development and Readiness Command (ATTN: DRCLD), Alexandria, VA 22333; to HQDA(DAMA-ARR), WASH DC 20310.

Distribution.

Active Army: To be distributed in accordance with DA Form 12-9A requirements for AR, Research and Development—D. *ARNG and USAR*—None

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Glossary

Section I

Introduction

1-1. Purpose

This regulation-

a. Establishes policies and assigns responsibilities for the Army's Scientific and Technical Information Program (STIP).

b. Prescribes procedures for preparation of an annually updated 5-year STIP Plan. This plan will be submitted by commanders of major Army commands (MACOMs) and materiel developers through command channels to the US Army Materiel Development and Readiness Command for consolidation to Headquarters, Department of the Army (HQDA).

1-2. References

AR 70-57 (Military-Civilian Technology Transfer) is a required publication. (Cited in para 7b.)

1-3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

1-4. Policies

a. The Department of the Army (DA) will pursue a coordinated and comprehensive STIP to do the following:

- (1) Provide maximum contribution to the advancement of science and technology.
- (2) Permit timely, effective, and efficient conduct and management of research, engineering, and study programs.
- (3) Eliminate unnecessary duplication of effort and resources by encouraging and expediting the interchange and use of scientific and technical information (S&TI).

b. The STIP will provide for interchange of S&TI within and among the organizations listed below. (See app A, para D.1.)

- (1) DA components and their contractors.
- (2) Federal agencies and their contractors.
- (3) The national and international university, not-for-profit institutes, and scientific communities.

1-5. Objectives

Objectives of the STIP are to commission the following:

a. Scientific and engineering documentation.

b. Adaptation and evaluation of better ways of communicating and transferring technical information. This adaptation and evaluation includes the increased effectiveness of the following:

(1) Information science, computer science, library science, and communications science. (Computer science and communications science as used here are limited to the development of display, documentation, storage, retrieval, and delivery aspects of technical information.)

(2) Storage media forms. Examples include hard copy, electronic, microform, and hybrid forms; examples of hybrid forms are video and holographic.

(3) Information processing and accessing information (from direct and remote sources).

(4) Publications, symposia, conferences, and meetings; documentation and communication of results of these entities will include proceedings, papers, reports, and monographs .

(5) Technical information needed for, or resulting from, medical research or engineering studies or scientific investigations. Investigations may include, but are not limited to; those related to any of the following:

- (a)* Military construction.
- (b)* Civil works.
- (c)* Medical and health services.
- (d)* Studies in behavioral and social sciences.
- (e)* Engineering Design Handbook series.
- (f)* Manufacturing Methods and Technology Information Data Base.
- (g)* Independent research and development (R&D) activity.

1-6. Concept

Implementation of the Army STIP is accomplished through decentralized Army activities. Such activities are engaged in the generation, use, processing, distribution, and communication of S&TI generated by research and engineering programs to advance science and technology required of the Army.

1-7. Background

a. The Army STIP recognizes the impact and efficient sharing of releasable information within agencies and activities of the Department of Defense (DOD) and outside the Army; these agencies and activities include other Federal, State, university, not-for-profit, and commercial institutes. Promotion of increased public understanding of science and technology (and the coupling of institutional scientific research with commercial application) are implementing elements of Public Law 94-282. (See app B.)

b. Additionally, the Army STIP, in concert with AR 70-57, supports the appropriate transfer of federally owned or originated technology to State and local governments and the private sector; this transfer will insure the full use of results of the nation's Federal investment in R&D. (See app C.) The Army STIP seeks to optimize results of R&D effort, while minimizing unwarranted duplication of subsequent effort.

Section II Responsibilities

1-8. Deputy Chief of Staff for Research, Development, and Acquisition (DCSRDA)

The DCSRDA has Army Staff responsibility for STIP. (See app A, para E4.)

1-9. The Director of Army Research and Technology

The Director of Army Research and Technology, acting in behalf of the DCSRDA, is designated as the Army's scientific and technical information manager (STIM). The Army's STIM will do the following:

a. Implement STIP policy, the STIP Program, and STIP procedural guidance from the Office of the Secretary of Defense (OSD) and the Army Secretariat.

b. Monitor Army STIP activities.

c. Review annually the STIP 5-year Plan; this review will assure conformance with prescribed policy and program guidance.

1-10. Assistant Chief of Staff for Intelligence (ACSI)

The ACSJ will-

a. Provide guidance and assistance to the STIM in identifying categories or specific elements of S&TI that must be-

(1) Withheld from public release.

(2) Restricted from export.

(3) Otherwise kept from falling under the purview of national disclosure policy.

b. Provide to the Office of the Chief of Public Affairs rationale for withholding S&TI.

1-11. Commanding General, US Army Materiel Development and Readiness Command (CG, DARCOM)

The CG, DARCOM will coordinate administration and execution of the STIP for all Army activities by doing the following:

a. Designating a principal Army technical information officer (PTIO) to execute-

(1) Program Element 65803A, Technical Information Activities.

(2) Army portions of the DOD STIP. (See app A.)

(3) Through command channels-

(a) The Army activities' input of bibliographic reference data into the shared bibliographic input network of the Defense Technical Information Center (DTIC).

(b) The literature search of DTIC's data base before the initiation of proposed research, development, test, and evaluation projects to avoid possible overlap and duplication.

(c) Issue to materiel developers and participating MACOM activities program guidelines needed for preparation of the 5-year STIP Plan.

b. Providing the consolidated 5-year STIP Plan to the following:

(1) DAMA-ARZ by 5 March of each year, along with sufficient descriptive summaries to justify changes to the Army Program Objective Memorandum.

(2) Army Library Management Office.

1-12. Heads of materiel developing agencies

Heads of materiel developing activities (materiel developers) will—

a. Implement instructions and procedures issued by the PTIO.

b. Provide supervision and support to subordinate organizations and activities; this supervision and support will insure maximum exchange of technical information in support of the scientific and technical mission.

c. Appoint an S&TI point of contact for each field activity to respond to the PTIO with narrative submission as required or annually.

d. Develop and maintain a continuously updated 5-year S&TI Plan for the command or materiel developing agency. This plan will indicate-

- (1) Current capabilities in S&TI operations.
- (2) Project desired capabilities.
- (3) Proposed steps to enable the command or agency to achieve the 5-year objectives.

1-13. Commanders of major Army commands (MACOMs)

Commanders of MACOMs not covered by paragraphs 11 and 12 who desire to take part in the STIP will follow the provisions of this regulation by fully complying with the procedures outlined in this regulation for materiel developing activities.



February 15, 1983
NUMBER 3200.12

Department of Defense Directive USDR&E

SUBJECT: DoD Scientific and Technical Information Program

References: (a) DoD Directive 5100.36, "Defense Scientific and Technical Information Program," October 2, 1981 (hereby canceled)
(b) DoD 5025.1-M, "DoD Directives System Procedures," April 1981, authorized by DoD Directive 5025.1, "Department of Defense Directives System," October 16, 1980
(c) DoD Instruction 5010.12, "Management of Technical Data," December 5, 1968
(d) through (y), see enclosure 1

A. PURPOSE

This Directive:

1. Replaces reference (a).
2. Defines concepts and assigns responsibilities for the operation and management of the DoD Scientific and Technical Information Program (STIP) (enclosure 2).
3. Outlines the mission, responsibilities, and functions of the Defense Technical Information Center (DTIC) (enclosure 3).
4. Authorizes, consistent with reference (b), the publication of DoD 3200.12-R-1, "Research and Technology Work Unit Information System"; DoD 3200.12-R-2, "Centers for Analysis of Scientific and Technical Information"; DoD 3200.12-R-3, "Dissemination of DoD Technical Information"; and DoD 3200.12-M-1, "Research and Technology Work Unit Information System Data Input Manual."

B. APPLICABILITY AND SCOPE

1. This Directive applies to the Office of the Secretary of Defense (OSD), the Organization of the Joint Chiefs of Staff, the Military Departments, and the Defense Agencies (hereafter called "DoD Components").
2. This Directive does not cover DoD programs for the handling of communications and display of information relating to the command and control of operations and operational forces; the DoD scientific and technical intelligence production community, products generated

under the DoD scientific and technical intelligence production program, and technical documents containing classified scientific and technical intelligence; the DoD technical data management program (DoD Instruction 5010.12, reference (c)); and signals intelligence and communications security information as defined in DoD Directives S-3115.7 and C-5200.5 (references (d) and (e)).

C. DEFINITIONS

The terms used in this Directive are defined in enclosure 4.

D. POLICY

1. The Department of Defense shall pursue a coordinated, comprehensive STIP to ensure that scientific and technical information (STI) provides maximum contribution to the advancement of science and technology; permits timely, effective, and efficient conduct and management of DoD research, engineering (RE), and studies programs; and eliminates unnecessary duplication of effort and resources by encouraging and expediting the interchange and use of STI. The STIP shall provide for interchange of STI within and among DoD Components and their contractors, federal agencies and their contractors, and the national and international scientific and technical community, in accordance with references (d) through (l), enclosure 1.

2. The STIP is a basic and integral part of the Office of the Under Secretary of Defense for Research and Engineering (OUSDR&E) function (DoD Directive 5129.1, reference (m)) and is affected by the DoD studies program. As such, it is incumbent upon the managers and performers of R&E to use and support the STI services and functions that comprise this program. STI processes are used to facilitate the communication and enrich the development and use of technical information during the planning and conduct of RE and studies efforts. Conversely, the performance of these program efforts is not considered complete until the STI, including related program management information required under this program, has been documented satisfactorily and provided to the appropriate STI distribution activities.

3. The DTIC is designated to provide a source of STIP services to assist in carrying out STIP policy and administration; to perform technical information support services for the OUSDR&E and OSD Principal Staff Assistants; to operate DoD-wide STI systems; to act as a central coordinating point for DoD STI data bases and systems; and to explore and demonstrate new supporting technology.

E. RESPONSIBILITIES

1. The Under Secretary of Defense for Research and Engineering shall:
 - a. Manage the STIP (enclosure 2).
 - b. Develop, publish, and maintain DoD 3200.12-R-1, DoD 3200.12-R-2, DoD 3200.12-R-3, and DoD 3200.12-M-1, consistent with DoD 5025.1-M (reference (b)).

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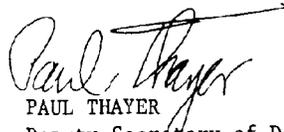
2. OSD Principal Staff Assistants shall have oversight and guidance responsibility for their respective areas.

3. The Director, Defense Logistics Agency (DLA), shall have operational control of the DTIC (enclosure 3).

4. Heads of DoD Components shall perform the functions outlined in enclosure 2.

F. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Forward one copy of implementing documents to the Under Secretary of Defense for Research and Engineering within 120 days.


PAUL THAYER
Deputy Secretary of Defense

Enclosures - 4

1. References
2. DoD Scientific and Technical Information Program
3. Defense Technical Information Center
4. Definitions

REFERENCES, continued

- (d) DoD Directive S-3115.7, "Signals Intelligence (SIGINT) (U)," January 25, 1973
- (e) DoD Directive C-5200.5, "Communications Security (COMSEC) (U)," October 6, 1981
- (f) DoD Directive 5200.20, "Distribution Statements on Technical Documents," September 24, 1970
- (g) DoD 5200.1-R, "Information Security Program Regulation," August 1982, authorized by DoD Directive 5200.1, June 7, 1982
- (h) DoD Directive 5400.7, "DoD Freedom of Information Act Program," March 24, 1980
- (i) DoD 5400.7-R, "DoD Freedom of Information Act Program," December 1980, authorized by DoD Directive 5400.7, March 24, 1980
- (j) DoD Directive 5400.11, "Department of Defense Privacy Program," June 9, 1982
- (k) DoD Directive 5122.5, "Assistant Secretary of Defense (Public Affairs)," June 15, 1982
- (l) DoD Directive 5230.9, "Clearance of DoD Information for Public Release," April 2, 1982
- (m) DoD Directive 5129.1, "Under Secretary of Defense for Research and Engineering," November 29, 1978
- (n) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964
- (o) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
- (p) DoD 5000.12-M, "DoD Manual for Standard Data Elements," December 1981, authorized by DoD Instruction 5000.12, "Data Elements and Data Codes Standardization Procedures," April 27, 1965
- (q) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," March 2, 1979
- (r) DoD Instruction 5230.17, "Procedures and Standards for Disclosure of Military Information to Foreign Activities," August 17, 1979
- (s) DoD Directive 5200.12, "Security Sponsorship and Procedures for Scientific and Technical Meetings Involving Disclosure of Classified Military Information," June 15, 1979
- (t) DoD Instruction 7720.13, "Research and Technology Work Unit Information System," April 16, 1968
- (u) DoD Instruction 5100.66, "Establishment of Policy for, and Administration of, Independent Research and Development Programs (IR&D)," January 7, 1975
- (v) DoD Directive 5010.22, "DoD Contract Studies Management," March 25, 1982
- (w) DoD Directive 5100.62, "Clearance of Research and Studies with Foreign Affairs Implications," August 19, 1969
- (x) DoD Instruction 5200.21, "Dissemination of DoD Technical Information," September 27, 1979
- (y) DoD Instruction 5100.45, "Centers for Analysis of Scientific and Technical Information," July 28, 1964

DoD SCIENTIFIC AND TECHNICAL INFORMATION PROGRAM

A. SCOPE

This enclosure addresses concepts and functional responsibilities for the operation and management of the STIP, including the reproduction and dissemination of and access to technical documents; the conduct of technical meetings and symposia; the management of technical libraries, technical information centers, and data systems of technical information; the application of information and decision-support systems to managing RE and studies programs; and the conduct of programs to explore and apply advanced techniques and technologies to STI processes.

B. CONCEPT

1. The STIP is operated as a coordinated structure of generally decentralized activities with overall policy direction vested within the OUSDR&E in coordination with or participation of the OSD Principal Staff Assistants, or designees.

2. The DTIC shall provide centralized operation of specific STIP functions, such as technical document access and dissemination and data base and reference services; serve as a focus for actions required to provide and enhance DoD-wide STI services; and provide direct information system and data base support to the OUSDR&E and OSD Principal Staff Assistants in coordinating the overall STIP.

3. Maximum use shall be made of existing organizations presently engaged in collecting, processing, and disseminating STI. The activities of each STIP function such as Information Analysis Centers (IACs), the DTIC, or other specialized STI centers designated by the OSD shall be coordinated to produce a coherent program providing maximum data and resource sharing and effective service to all bona fide users of DoD STI services.

4. A principal objective of the STIP is to improve both the scope and effectiveness of collecting, processing, disseminating, and applying STI. The program shall apply the latest available technologies and provide for maximum participation and compatibility among the information programs of disparate DoD Components, other federal agencies, and the private sector. In the collection of STI, standard data elements should be used in accordance with DoD Directive 5000.11 (reference (n)), whenever applicable.

5. Effective coordination and liaison are necessary among the STIP and those information programs involving technical intelligence, information security management, foreign disclosure activities, technical data management, manpower, logistic, and acquisitions systems to ensure maximum compatibility, interchange of information, and avoidance of unnecessary duplication of effort.

6. The overriding priority of the STIP is to ensure timely and effective exchange among DoD RE and studies performers and managers of all STI generated by or relevant to the pursuit of DoD R&E programs. Because of the nature of defense programs, the publication and reporting of such information frequently requires security safeguards or specific limitations on access or distribution. Requests for records under the Freedom of Information Act shall be processed in accordance with DoD Directive 5400.7 (reference (h)). For example, transfer of

classified or proprietary information (with the consent of the source) would not be effective without safeguards to inhibit improper disclosure. Such protection is an acceptable cost for being able to transfer or share the information freely among certified federal and civilian research and development (R&D) communities. In addition, STIP processes shall support and incorporate DoD policy to prevent the unrestricted export of militarily critical technology.

7. Every effort shall be made, within the limits of national security requirements, to prepare technical documents and other types of defense STI in an unclassified form and, in accordance with established clearance procedures, to provide such information for public use through appropriate federal agencies. Such use of unclassified STI or of unclassified versions of defense STI shall expedite information transfer both within the Department of Defense and to the national scientific and technical community.

8. All policies and procedures governing the dissemination to the public of information within this program shall be subject to the approval of the Assistant Secretary of Defense (Public Affairs) (ASD(PA)) under authority of DoD Directives 5122.5 and 5230.9 (references (k) and (l)).

C. FUNCTIONAL RESPONSIBILITIES

1. The Under Secretary of Defense for Research and Engineering, in coordination with or participation of the OSD Principal Staff Assistants, shall be responsible for overall policy direction and coordination, and shall:

- a. Exercise overall supervision, coordination, and review of the STIP.
- b. Maintain, through the operation of the DTIC, a central activity to perform and enhance DoD STI services. In discharging this responsibility, the USDR&E shall provide policy direction and guidance through the DLA for DTIC programs and ensure that the DTIC's management and services are responsive to the needs of the defense R&E community.
- c. Maintain a continuing program analysis of the STIP and identify the character of work and the amount of resources required and programed. In discharging this responsibility, the USDR&E shall prepare annually a Five-Year Program Plan and review the budget program, including that portion administered and reported by the separate DoD Components.
- d. Maintain a systematic survey of the problems and needs of STIP users and assess the effectiveness of the STIP and its component functions in meeting these needs. In discharging this responsibility, the USDR&E shall establish objectives, priorities, and policy for the STIP and its principal components.
- e. Ensure effective assignment and management of the DoD-sponsored IACs to provide specialized STI for DoD and other users. In discharging this responsibility, the USDR&E shall review and coordinate the functions of IACs and their establishment, consolidation, or disestablishment to ensure effective and nonduplicative coverage of technical areas essential to the mission of the Department of Defense.

f. Provide guidance to the operations and programs of DoD-related technical libraries or information centers to ensure their ability to have access to acquire, share, and provide STI and documents needed in support of the programs.

g. Direct development of DoD-wide STI data bases (such as manpower and training research information systems), as needed, to support R&E programs, and as requested by OSD Principal Staff Assistants, or designees. Data bases shall be developed in accordance with DoD Directive 5000.19 (reference (o)), using existing data elements from DoD 5000.12-M (reference (p)), where applicable. New data elements shall be registered with the Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)) in accordance with DoD Directive 5000.11 (reference (n)).

h. Encourage use of and announce technical symposia and meetings related to RE and studies matters and provide for periodic announcement to the DoD Components of such scheduled events.

i. Provide policy and guidance for the operation and management of defense industry information and DoD technology transfer programs.

j. Ensure continued liaison and coordination among the Department of Defense and federal, national, and international organizations concerning the interchange of STI and the establishment of standards as needed for all forms of STI.

k. Ensure the conduct and coordination of efforts within the STIP is directed toward the development of processes, techniques, and equipment leading to improved STI services, systems, and programs.

l. Provide analyses to identify categories of STI that must be withheld from public release consistent with DoD Directive 5400.7 and DoD 5400.7-R (references (h) and (i)), to protect national interests and yet ensure their availability and transfer within the Department of Defense. These analyses shall provide the basis for recommendations to the ASD(PA) concerning public release procedures peculiar to each category. Such analysis also shall identify areas of defense-related technology in which the export of military-critical technical information must be restricted.

m. Provide coordination and liaison with the Defense Intelligence Agency (DIA) and other federal intelligence activities to effect transmittal of relevant information and translations derived from technical intelligence activities to the DTIC and appropriate IACs, in accordance with current dissemination and release procedures.

n. Provide coordination and liaison with the Deputy Under Secretary of Defense for Policy (DUSD(P)) for security classification management of STI (DoD 5200.1-R, reference (g)).

o. Provide coordination and liaison with the DUSD(P) for national disclosure policy matters and for disclosure of STI to friendly foreign nations under cooperative exchange agreements (DoD Directive 5230.11 and DoD Instruction 5230.17, references (q) and (r)).

2. The Heads of DoD Components shall:

- a. Designate a senior-level STI director or manager at the Military Department or Defense Agency staff level who shall represent and manage their STI programs and serve as a single, authoritative point of contact for STI matters.
 - b. Continually review their needs for STI and make proposals to the OUSDR&E for the initiation of new or major revisions to STI efforts or activities.
 - c. Establish, operate, and administer those STI functions and activities required for the conduct of their missions and such other information activities required to serve the Department of Defense, national R&D needs, or as may be assigned by the OUSDR&E.
 - d. Provide programing, budgeting, funding, accounting, reporting, and other support for their STI activities, in accordance with established procedures, including DoD Directive 5000.19 (reference (o)).
 - e. Maintain a current review and inventory of STI functions and activities under their administrative control. In discharging this responsibility, they shall maintain planning on a 5-year program basis for these activities.
 - f. Encourage the use and sponsorship of technical symposia and meetings and of participation in the symposia and meetings by DoD scientists, engineers, and managers as an effective mechanism for STI transfer and exchange. In discharging this responsibility, they shall report regularly to the OUSDR&E pertinent data about each planned technical symposium or meeting. Security procedures are defined in DoD Directive 5200.12 (reference (s)).
 - g. Execute technology transfer programs and projects within OUSDR&E guidelines and assign single points of contact to coordinate their technology transfer programs.
 - h. Ensure that all significant scientific or technological observations, findings, recommendations, and results derived from DoD endeavors, including those generated under contracts or grants that are pertinent to the DoD mission, contribute to the DoD, or national scientific or technological base, are recorded as technical documents. Internal and contractual procedures shall ensure that copies of such documents are made available to the DoD R&E community, including supporting technical libraries, the DTIC, and appropriate IACs, and, within established security and other limitation control, and consistent with DoD Directive 5400.7 (reference (h)), to the civilian scientific and technical community. Such documentation shall be prepared and distributed without undue delay and according to established standards for document format, distribution, security marking, and reproducibility, as specified in appropriate DoD issuances or STIP procedural guidance. Alternatively, if physical control and secondary distribution of a technical document by an STI function, such as the DTIC or an IAC external to the authoring or sponsoring activity, is not appropriate, a bibliographic description is required to report the nature and existence of the document.
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i. Operate and support activities for the input of data to centralized DoD data bases of bibliographic and R&E program-related information, and be responsible for the accuracy and currency of data base content and reporting, in accordance with data element standards, authorities, and input procedures established by the DoD Component responsible for operation of the data base, and input procedures established by the ASD(C).

j. Within security and distribution limitations, as prescribed in DoD Directive 5200.20 and DoD 5200.1-R (references (f) and (g)), necessary to ensure adequate intra-DoD STI exchange, pursue a policy to ensure that STI, created within activities under their control, is provided for public use through appropriate federal agencies, according to approved DoD clearance procedures (DoD Directives 5122.5, 5230.9, 5230.11, DoD Instruction 5230.17, and DoD Directive 5400.7, references (k), (l), (q), (r), and (h)). To facilitate this exchange, each DoD Component shall provide technical documents and other information relevant to R&E programs in an unclassified manner to the maximum extent possible within the above policies and guidelines.

DEFENSE TECHNICAL INFORMATION CENTER

A. MISSION

Under the operational control of the Director, DLA, and in accordance with OUSDR&E policy guidance, the DTIC shall:

1. Provide centralized operation of DoD services for the acquisition, storage, retrieval, and dissemination of STI to support DoD research, development, and engineering and studies programs.
2. Serve as a focus for specific actions required by the OUSDR&E to meet technical information needs of the STIP.
3. Develop and provide specialized information system support approved or directed by the OUSDR&E.
4. Work directly with the OUSDR&E to formulate objectives and programs concerning STI transfer among the Military Departments, Defense Agencies, and other U.S. Government agencies.
5. Participate with the OSD and federal agencies in formulating DoD and federal policies relating to STI transfer.
6. Function as a central activity within the Department of Defense for applying advanced techniques and technology to DoD STI systems and for developing improvements in services and STI transfer effectiveness in support of STIP objectives.
7. Represent the Department of Defense at STI meetings, conferences, or symposia to support mission objectives.
8. Provide liaison with other DoD and government STI organizations (such as the Defense Logistics and Studies Information Exchange (DLSIE) and the National Aeronautics and Space Administration.)

B. FUNCTIONS

The Administrator, DTIC, is responsible for providing or executing the following functions in support of the STIP:

1. Centralized DoD Document Services. These include all services related to maintaining a repository of technical documents resulting from or pertinent to DoD RE and studies efforts, providing for their dissemination, and the following functions:
 - a. Acquiring technical documents including documents from outside the Department of Defense, domestic or foreign, that are considered pertinent to RE and studies efforts and not readily available to these efforts through other sources.
 - b. Providing prompt and effective document awareness services and publications reflecting new acquisitions in the document collection.
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c. Storing in reproducible form copies of acquired DoD-relevant technical documents.

d. Maintaining a system of document acquisition, storage, announcement, reproduction, and distribution methods in accordance with DoD security policies, standards, criteria, and procedures for classified, limited distribution, and company proprietary information entrusted to the Department of Defense by agreement.

e. Providing timely response to requests from authorized users for technical reports and other document services. Release of documents in response to requests under the Freedom of Information Act shall be governed by DoD Directive 5400.7 (reference (h)).

f. Ensuring the adequacy of and preparing necessary instructions, standards, regulations, and guidelines for preparing, distributing, storing, and gaining access to technical documents describing R&E efforts and the entry of bibliographic descriptions into DoD STI data bases.

2. Centralized DoD Data Base Services

a. These involve the application of information, computer, and telecommunications technology to provide seekers of defense STI convenient access to stored files of STI, relevant to managing and conducting R&E programs. For such data bases, the DTIC shall provide:

(1) Data base input systems and procedures to acquire and enter data into the data base store and provide technical support for remote input to the data base store (either on-line or in machine-readable form). Data base input systems shall use existing standard data elements from DoD 5000.12-M (reference (p)), when applicable.

(2) Data base output systems and procedures to support the processes involved in formulating and executing on-line search and retrieval and control of data base output products.

(3) Response to demand requests received by mail and telephone for data base products and processing of subscription or recurring requests for data base products.

b. The DTIC shall establish and operate a centralized data base of bibliographic citations of technical documents resulting from or relevant to the defense R&E program. This includes support to DTIC document services functions, such as:

(1) Document announcement, current awareness, selective dissemination of information products, or bibliographic searches.

(2) Bibliographic data base support, such as shared cataloging and related services to technical libraries, IAC, and other information processors operated by or in support of defense R&E programs.

c. The DTIC shall maintain and operate centralized data bases of summary technical and management-related information describing the content and scope

of R&E programs, in accordance with DoD Instructions 7720.13 (to be replaced by DoD 3200.12-R-1) and 5100.66, DoD Directives 5000.19, 5010.22, and 5100.62 (references (t), (u), (o), (v), and (w), respectively), DoD 3200.12-M-1, and other data specified or approved by the OUSDR&E, when needed for R&E program management.

d. The DTIC shall provide for maintenance of a central referral data base of DoD and relevant federal STI activities and shall cooperate with other federal agencies in maintaining such referral services.

e. The DTIC shall provide the capability and capacity as approved by the OUSDR&E to accommodate new or expanded STI data bases and extended levels of data base access, system interconnection, and the establishment of networks.

f. The DTIC shall ensure the adequacy of and prepare instructions, regulations, and guidelines describing responsibilities and procedures for input to, maintenance of, access to, and retrieval from DoD STI data bases.

g. The DTIC shall provide OSD functional managers with data and document services needed to support their programs in RE and studies areas.

3. DoD Information Analysis Center (IAC) Support. The DTIC shall:

a. Provide necessary support and services related to improved coordination, planning, and integration of DoD-funded IACs. The DTIC shall effect and support a comprehensive program within the IAC function of the STIP to improve the visibility, effectiveness, and use of the IACs in support of DoD and federal scientific and technical programs.

b. Provide oversight through the contracting officer for designated contractor-operated DoD IACs.

c. Develop and provide systems and services to assist or supplement IAC operations or programs to effect and promote resource sharing, joint approaches to common objectives and problems, and information exchange among the IACs, DTIC, and other components of the STIP.

4. DoD Technical Library Support. The DTIC shall provide a focus for developing and coordinating programs among, and providing centralized technical support to, DoD technical libraries. To help improve their effectiveness and capabilities, the DTIC shall provide assistance in the following areas:

a. Analyze and explore applications of automation to library operations and other services.

b. Cooperative efforts among libraries including the establishment of networks and resource sharing.

c. Integration of technical libraries, IACs, the DTIC, and other components of the STIP in a coordinated STI network.

5. Investigation, Experimentation, and Application of Advanced Information Science and Technology. The DTIC shall identify, develop, and carry out programs to perform and monitor experimentation and study for increasing its internal effectiveness and productivity and for ensuring that the overall STIP is served

by innovative and effective information systems that take advantage of new advances in information science and technology. It shall perform studies and experimentation to improve the processes involved in acquiring, using, storing, retrieving, disseminating, and generating STI. In doing so, it shall seek effective ways to employ modern information storage, retrieval, and transmission technology and devices by acquiring and testing the application of existing and promising computer, telecommunications, storage, and transmission devices and concepts.

6. Related STI Support Services. The DTIC shall:

a. Develop and apply techniques to assess STI needs, usage, and trends to propose new STI services or programs. The DTIC shall develop and propose programs to coordinate the STI needs, problems, and activities of all STIP participants.

b. Develop and operate promotional and training programs to increase the awareness and use of STI services among R&D managers, scientists, and engineers throughout the current and potential DTIC user community to increase their efficiency and that of the information practitioners in the use of STI tools and resources and to increase the number and activity of DTIC users.

c. Provide a central DoD authority and establish a central directory for the data elements and processes used to record, gain access to, and exchange STI or documents and prepare instructions containing specific criteria and guidance for the content and format of data elements required by these STI data bases, and register data elements with the ASD(C) through the Defense Materiel and Standards Specification Office. The DTIC shall exercise this authority in cooperation and coordination with the DoD Components and shall ensure compatibility with the STI practices of other federal agencies.

d. Explore and acquire techniques and arrangements to facilitate access to STI data bases, on-line services, or networks relevant to the conduct or management of R&E programs. These may include data, data bases, or systems from other federal, commercial, or foreign sources that may not otherwise be readily accessible to DTIC users, provided the DTIC does not unnecessarily or unfairly compete with or detract from services available from the private sector.

e. Represent the Department of Defense in efforts of federal and professional STI activities involving the compatibility or standardization of STI data and processes pertinent to improved information transfer.

f. As directed by the OUSDR&E, provide such centralized services as acquisition, evaluation, or implementation of common STI resources, systems, or devices and act as focal point in such endeavors as arranging or instituting new STI programs, procedures, or exchange agreements.

g. Operate and maintain procedures whereby U.S. Government departments and agencies and their contractors, subcontractors, grantees, and DoD potential contractors may become certified and registered for access to controlled STI available from DoD information dissemination activities (DoD Instruction 5200.21, reference (x) (to be replaced by DoD 3200.12-R-3)).

DEFINITIONS

1. Data Base. An extensive and comprehensive set of records collected and organized in a meaningful manner to serve a particular purpose.
 2. Defense Industry Information. Technical planning, requirements, and acquisition information provided to industry through various programs to enable industry to meet defense weapons and support systems needs. The programs include DoD IACs, potential contractor programs of DoD Components, advanced planning briefings for industry, technical meetings on special topics, and similar services initiated by the OUSDR&E and other DoD Components.
 3. Document. Any recorded information regardless of its medium, physical form, or characteristics.
 - a. Technical Document. Any document that presents STI.
 - b. Technical Report. Any preliminary or final technical document prepared to record, document, or share results obtained from, or recommendations made on, or relating to, DoD-sponsored or cosponsored scientific and technical work.
 4. DoD Information Analysis Center (IAC). An activity that acquires, digests, analyzes, evaluates, synthesizes, stores, publishes, and provides advisory and other user services concerning available worldwide scientific and technical information and engineering data in a clearly defined, specialized field or subject area of significant DoD interest or concern. IACs are distinguished from technical information centers and libraries whose functions are primarily concerned with providing reference or access to the documents themselves rather than the STI contained in the documents (DoD Instruction 5100.45, reference (y) (to be replaced by DoD 3200.12-R-2)).
 5. DoD Technology Transfer. Programs to promote military-civilian technology transfer and cooperative development on a systematic basis, including appropriate transfer of technology developed by the Department of Defense to the U.S. civilian sector where such technology can be utilized profitably, and identification of new technologies of both military and civilian interest.
 6. OSD Principal Staff Assistants. The Under Secretaries of Defense; the Assistant Secretaries of Defense; the General Counsel of the Department of Defense; the Inspector General of the Department of Defense; the Assistants to the Secretary of Defense; and the Director, Program Analysis and Evaluation.
 7. Scientific and Technical Information (STI). Communicable knowledge or information resulting from or pertaining to the conduct and management of R&E efforts. STI is used by administrators, managers, scientists, and engineers engaged in scientific and technological efforts and is the basic intellectual resource for and result of such effort.
 8. Scientific and Technical Information Program (STIP). A coordinated structure of DoD STI functions operated or administered by the Military Departments and Defense Agencies under the overall policy direction and control of the USDR&E. The objective of the STIP is to ensure that STI generated by R&E
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programs can provide maximum contribution to the advancement of science and technology; permit timely, effective, and efficient conduct of the DoD R&E programs; provide information support to the management of R&E-related programs; and eliminate unnecessary duplication of effort and resources by encouraging and expediting the interchange and use of STI.

9. Secondary Distribution. Distribution of or access to a document, usually based on a request to a document repository or information center, provided subsequent to an initial distribution performed or controlled by the authoring or sponsoring DoD Component.

10. STI Functions. The processes involved in recording and transferring STI from its generator or source to the ultimate user or beneficiary of new knowledge. They embrace a broad spectrum of activity from generation, publication, distribution, and storage to access, assimilation, and use of STI and documents. STI functions include, but are not limited to:

- a. The preparation, reproduction, and distribution of STI and documents.
- b. The provision of document services, including archival functions, repositories, announcements, and various means of document dissemination, access, or transmission.
- c. The operation of technical information centers, data centers, Information Analysis Centers, technical libraries, and other similar information activities that collect, store, process, and provide associated document, data, or information services in direct support to information seekers or that act as intermediaries between the user and other STI functions.
- d. The implementation and operation of data base services, including numeric, bibliographic, and management information data bases, data base processes and products, and the application of electronic and telecommunications techniques for data entry, storage, access, search, and retrieval.
- e. The provision of information and decision-support systems and services for use in management of R&E programs.
- f. The operation of directory or reference services to identify and locate available STI and R&E capabilities and resources.
- g. The conduct and support of technical meetings and symposia.
- h. The provision of information exchange programs to facilitate transfer of technological innovation and know-how from DoD R&E programs to civilian purposes.
- i. The operation of programs to effect exchange of defense technical planning, requirement, and acquisition information with industrial or other organizations capable of engaging in defense programs.

j. The study of and experimentation with new methods and techniques in handling STI and to facilitate the communication of new ideas or knowledge among scientists and engineers.

k. Security aspects of information management to include systematic review, maintenance and notification, and changing distribution limitation statements including public release.

l. The development and implementation of mechanisms and techniques to foster the awareness and use of STI resources, products, and services.

11. Technical Library. An activity that acquires, organizes, houses, retrieves, and disseminates information and information materials; and performs reference and research in direct support of a host activity's R&E mission. It also may provide all or any one of the following services: analysis, current awareness, literature searching, translations, and referral. A technical library also is called a technical information center.

12. Technical Symposia and Meetings. Formally scheduled assemblies for the presentation and discussion of topics pertinent to R&E programs.

§ 6602. Congressional declaration of policy

(a) Principles

In view of the foregoing, the Congress declares that the United States shall adhere to a national policy for science and technology which includes the following principles:

(1) The continuing development and implementation of strategies for determining and achieving the appropriate scope, level, direction, and extent of scientific and technological efforts based upon a continuous appraisal of the role of science and technology in achieving goals and formulating policies of the United States, and reflecting the views of State and local governments and representative public groups.

(2) The enlistment of science and technology to foster a healthy economy in which the directions of growth and innovation are compatible with the prudent and frugal use of resources and with the preservation of a benign environment.

(3) The conduct of science and technology operations so as to serve domestic needs while promoting foreign policy objectives.

(4) The recruitment, education, training, retraining, and beneficial use of adequate numbers of scientists, engineers, and technologists, and the promotion by the Federal Government of the effective and efficient utilization in the national interest of the Nation's human resources in science, engineering, and technology.

(5) The development and maintenance of a solid base for science and technology in the United States, including: (A) strong participation of and cooperative relationships with State and local governments and the private sector; (B) the maintenance and strengthening of diversified scientific and technological capabilities in government, industry, and the universities, and the encouragement of independent initiatives based on such capabilities, together with elimination of needless barriers to scientific and technological innovation; (C) effective management and dissemination of scientific and technological information; (D) establishment of essential scientific, technical and industrial standards and measurement and test methods; and (E) promotion of increased public understanding of science and technology.

(6) The recognition that, as changing circumstances require periodic revision and adaptation of this subchapter, the Federal Government is responsible for identifying and interpreting the changes in those circumstances as they occur, and for effecting subsequent changes in this subchapter as appropriate.

(b) Implementation

To implement the policy enunciated in subsection (a) of this section, the Congress declares that:

(1) The Federal Government should maintain central policy planning elements in the executive branch which assist Federal agencies in (A) identifying public problems and objectives, (B) mobilizing scientific and technological resources for essential national programs, (C) securing appropriate funding for programs so identified, (D) anticipating future concerns to which science and technology can contribute and devising strategies for the conduct of science and technology for such purposes, (E) reviewing systematically Federal science policy and programs and recommending legislative amendment thereof when needed. Such elements should include an advisory mechanism within the Executive Office of the President so that the Chief Executive may have available independent, expert judgment and assistance

on policy matters which require accurate assessments of the complex scientific and technological features involved.

(2) It is a responsibility of the Federal Government to promote prompt, effective, reliable, and systematic transfer of scientific and technological information by such appropriate methods as programs conducted by nongovernmental organizations, including industrial groups and technical societies. In particular, it is recognized as a responsibility of the Federal Government not only to coordinate and unify its own science and technology information systems, but to facilitate the close coupling of institutional scientific research with commercial application of the useful findings of science.

(3) It is further an appropriate Federal function to support scientific and technological efforts which are expected to provide results beneficial to the public but which the private sector may be unwilling or unable to support.

(4) Scientific and technological activities which may be properly supported exclusively by the Federal Government should be distinguished from those in which interests are shared with State and local governments and the private sector. Among these entities, cooperative relationships should be established which encourage the appropriate sharing of science and technology decisionmaking, funding support, and program planning and execution.

(5) The Federal Government should support and utilize engineering and its various disciplines and make maximum use of the engineering community, whenever appropriate, as an essential element in the Federal policymaking process.

(6) Comprehensive legislative support for the national science and technology effort requires that the Congress be regularly informed of the condition, health and vitality, and funding requirements of science and technology, the relation of science and technology to changing national goals, and the need for legislative modification of the Federal endeavor and structure at all levels as it relates to science and technology.

(c) Procedures

The Congress declares that, in order to expedite and facilitate the implementation of the policy enunciated in subsection (a) of this section, the following coordinate procedures are of paramount importance:

(1) Federal procurement policy should encourage the use of science and technology to foster frugal use of materials, energy, and appropriated funds; to assure quality environment; and to enhance product performance.

(2) Explicit criteria, including cost-benefit principles where practicable, should be developed to identify the kinds of applied research and technology programs that are appropriate for Federal funding support and to determine the extent of such support. Particular attention should be given to scientific and technological problems and opportunities offering promise of social advantage that are so long range, geographically wide-spread, or economically diffused that the Federal Government constitutes the appropriate source for undertaking their support.

(3) Federal promotion of science and technology should emphasize quality of research, recognize the singular importance of stability in scientific and technological institutions, and for urgent tasks, seek to assure timeliness of results. With particular reference to Federal support for basic research, funds should be allocated to encourage education in needed disciplines, to provide a base of scientific knowledge from which future essential technological development can be launched, and to add to the cultural heritage of the Nation.

(4) Federal patent policies should be developed, based on uniform principles, which have as their objective the preservation of incentives for technological innovation and the application of procedures which will continue to assure the full use of beneficial technology to serve the public.

(5) Closer relationships should be encouraged among practitioners of different scientific and technological disciplines, including the physical, social, and biomedical fields.

(6) Federal departments, agencies, and instrumentalities should assure efficient management of laboratory facilities and equipment in their custody, including acquisition of effective equipment, disposal of inferior and obsolete properties, and cross-servicing to maximize the productivity of costly property of all kinds. Disposal policies should include attention to possibilities for further productive use.

(7) The full use of the contributions of science and technology to support State and local government goals should be encouraged.

(8) Formal recognition should be accorded those persons whose scientific and technological achievements have contributed significantly to the national welfare.

(9) The Federal Government should support applied scientific research, when appropriate, in proportion to the probability of its usefulness, insofar as this probability can be determined; but while maximizing the beneficial consequences of technology, the Government should act to minimize foreseeable injurious consequences.

(10) Federal departments, agencies, and instrumentalities should establish procedures to insure among them the systematic interchange of scientific data and technological findings developed under their programs.

Appendix C
Section 11, Public Law 96-480 (15 USC 3710), Utilization of Federal Technology

15 USC 3710. SEC. 11. UTILIZATION OF FEDERAL TECHNOLOGY.

Technology
transfer.

(a) POLICY.—It is the continuing responsibility of the Federal Government to ensure the full use of the results of the Nation's Federal investment in research and development. To this end the Federal Government shall strive where appropriate to transfer federally owned or originated technology to State and local governments and to the private sector.

Waiver.
Submittal to
Congress.

(b) ESTABLISHMENT OF RESEARCH AND TECHNOLOGY APPLICATIONS OFFICES.—Each Federal laboratory shall establish an Office of Research and Technology Applications. Laboratories having existing organizational structures which perform the functions of this section may elect to combine the Office of Research and Technology Applications within the existing organization. The staffing and funding levels for these offices shall be determined between each Federal laboratory and the Federal agency operating or directing the laboratory, except that (1) each laboratory having a total annual budget exceeding \$20,000,000 shall provide at least one professional individual full-time as staff for its Office of Research and Technology Applications, and (2) after September 30, 1981, each Federal agency which operates or directs one or more Federal laboratories shall make available not less than 0.5 percent of the agency's research and development budget to support the technology transfer function at the agency and at its laboratories, including support of the Offices of Research and Technology Applications. The agency head may waive the requirements set forth in (1) and/or (2) of this subsection. If the agency head waives either requirement (1) or (2), the agency head shall submit to Congress at the time the President submits the budget to Congress an explanation of the reasons for the waiver and alternate plans for conducting the technology transfer function at the agency.

(c) FUNCTIONS OF RESEARCH AND TECHNOLOGY APPLICATIONS OFFICES.—It shall be the function of each Office of Research and Technology Applications—

(1) to prepare an application assessment of each research and development project in which that laboratory is engaged which has potential for successful application in State or local government or in private industry;

(2) to provide and disseminate information on federally owned or originated products, processes, and services having potential application to State and local governments and to private industry;

(3) to cooperate with and assist the Center for the Utilization of Federal Technology and other organizations which link the research and development resources of that laboratory and the Federal Government as a whole to potential users in State and local government and private industry; and

(4) to provide technical assistance in response to requests from State and local government officials.

Agencies which have established organizational structures outside their Federal laboratories which have as their principal purpose the transfer of federally owned or originated technology to State and local government and to the private sector may elect to perform the func-

tions of this subsection in such organizational structures. No Office of Research and Technology Applications or other organizational structures performing the functions of this subsection shall substantially compete with similar services available in the private sector.

(d) CENTER FOR THE UTILIZATION OF FEDERAL TECHNOLOGY.—There is hereby established in the Department of Commerce a Center for the Utilization of Federal Technology. The Center for the Utilization of Federal Technology shall—

Establishment.

(1) serve as a central clearinghouse for the collection, dissemination and transfer of information on federally owned or originated technologies having potential application to State and local governments and to private industry;

(2) coordinate the activities of the Offices of Research and Technology Applications of the Federal laboratories;

(3) utilize the expertise and services of the National Science Foundation and the existing Federal Laboratory Consortium for Technology Transfer; particularly in dealing with State and local governments;

(4) receive requests for technical assistance from State and local governments and refer these requests to the appropriate Federal laboratories;

(5) provide funding, at the discretion of the Secretary, for Federal laboratories to provide the assistance specified in subsection (c)(4); and

(6) use appropriate technology transfer mechanisms such as personnel exchanges and computer-based systems.

(e) AGENCY REPORTING.—Each Federal agency which operates or directs one or more Federal laboratories shall prepare biennially a report summarizing the activities performed by that agency and its Federal laboratories pursuant to the provisions of this section. The report shall be transmitted to the Center for the Utilization of Federal Technology by November 1 of each year in which it is due.

Glossary

Section I

Abbreviations

ACSI

Assistant Chief of Staff for Intelligence

CG

commanding general

DA

Department of the Army

DARCOM

US Army Materiel Development and Readiness Command

DCSRDA

Deputy Chief of Staff for Research, Development, and Acquisition Department of Defense

DTIC

Defense Technical Information Center

HQDA

Headquarters, Department of the Army

MACOM

major Army command

OSD

Office of the Secretary of Defense

PTIO

principal Army technical information officer

R&D

research and development

S&TI

scientific and technical information

STIM

scientific and technical information manager

STIP

Scientific and Technical Information Program

Section II

Terms

(*Note:* Other special terms used in this regulation are listed in app A, enclosure 4.)

Materiel developer

Command or agency responsible for research, development, development tests, and production validation of an item which responds to DA Army objectives and requirements. Will be designated from the following, with specific responsibilities assigned as appropriate: Chief of Engineers; The Surgeon General (Office of Assistant Surgeon General for Research and Development); the Commanding General, DARCOM, and the Commander, US Army Research Institute for the Behavioral and Social Sciences.

Section III

Special Abbreviations and Terms

This section contains no entries.

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